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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/410,483	09/30/1999	PARTHASARATHY SARANGAM	042390.P7091	6937

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EXAMINER

WON, YOUNG N

ART UNIT	PAPER NUMBER
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2155

DATE MAILED: 07/28/2003

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Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/410,483

Applicant(s)

SARANGAM ET AL.

Examiner

Young N Won

Art Unit

2155

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE \_\_\_\_ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_ .
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☐ Claim(s) \_\_\_\_ is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) \_\_\_\_ is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_ .
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_ .
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_ .
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_ .

### DETAILED ACTION

1. Claim 27 has been amended and claims 1-9, 16-19, and 25-35 have been re-examined.

#### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) do not apply to the examination of this application as the application being examined was not (1) filed on or after November 29, 2000, or (2) voluntarily published under 35 U.S.C. 122(b). Therefore, this application is examined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

#### **Independent:**

2. Claims 1-7, 9, 16, 17, 19, 25-27, 29, 30, 32, 33, and 35 are rejected under 35 U.S.C. 102(e) as being anticipated by Spencer (US 6253243B1).

As per claims 1, 16, and 25, Spencer teaches a method (see col.19, line 37) and an apparatus (see col.21, line 24) comprising: detecting alert events on a client using a platform independent (see col.1, line 60 to col.2, line 4) agent integrated with said client (see col.1, lines 32-59); reporting detected alert events by said platform independent agent to a remote alert proxy in a platform independent manner complemented by a platform type (see col.2, lines 18-65); receiving the detected alert events of a client device from an integrated platform independent agent (see Fig.1) of the client device by the server; obtaining an identifier from the reported detected alert event (see col.2, lines 18-65); and translating said reported or received alert events to platform specific alert events by said alert proxy, wherein the translating includes using the obtained identifier to reference an event description file (see col.2, lines 5-17 and col.9, lines 24-42).

As per claims 27 and 32, Spencer teaches of a system (see title) and an article of manufacture comprising a machine readable medium having a plurality of machine readable instructions stored thereon (see col.18, lines 61-67 and col.20, line 44), wherein when the instructions are executed by a processor, the instructions subscribe the processor to: receive a data packet containing a detected alert events of a device from an integrated platform independent agent device in a platform independent manner complemented with a platform type (see col.2, lines 18-65); parse the received detected alert event, according to an encapsulation protocol, to predetermined variables (see Fig.6; col.9, lines 32-35; col.11, lines 21-25; and col.13, lines 5-9); assign values obtained by parsing the data packet to predetermined variables (see col.1, lines 55-59 and col.13, lines 22-53); and translate said received alert events to platform specific

(see col.16, lines 61-62) alert events, wherein the translating includes comparing the assigned values to an event description file to determine platform specific alert information (see col.2, lines 5-17 and col.9, lines 24-42).

As per claim 29, Spencer teaches of a system (see title) comprising: a computing device having a management application (see fig.1, #106) and an alert proxy (see col.7, lines 62-65), the alert proxy to translate command data received from the management application into device-specific control data (see col.7, lines 27-31), wherein the translating includes determining an identifier and using the identifier to reference an event description file (see col.2, line 52 to col.3, line 20); and an other computing device coupled to the computing device having a platform-independent (see col.1, line 60 to col.2, line 4) alert detection element to report detected alert events to the computing device (see Fig.1 and col.1, lines 32-59).

Dependent:

As per claim 2, Spencer further teaches wherein detecting said alert events on said client further comprises detecting alert events while said client is in a reduced function state (see col.6, lines 36-38).

As per claim 3, Spencer further teaches wherein said reduced function state includes an operating system hung state (see col.2, lines 22-27).

As per claim 4, Spencer further teaches wherein reporting said detected alert events further comprises: composing a network data packet (see col.16, lines 20-24), said network data packet including an event code (see col.7, lines 27-31); and

transmitting said network data packet including said event code to said remote alert proxy (see col.7, lines 42-48).

As per claim 5, Spencer further teaches wherein composing said network data packet comprises encapsulating said network data packet according to at least one of a plurality of encapsulation protocols including a remote management and control protocol (RMCP) and a simple network management protocol (SNMP) (see col.2, lines 13-17).

As per claim 6, Spencer further teaches wherein said event code includes a BIOS POST code (see col.7, lines 5-15: <generic-trap> Table).

As per claims 7, 17, and 26, Spencer further teaches wherein said translating (see col.7, line 66 to col.8, line 1 and col.9, lines 24-25) said reported or received alert events to platform specific events (see col.7, lines 27-31) by said alert proxy further comprises referencing a description data file using said platform type (see col.9, lines 4-7).

As per claims 9 and 19, Spencer further teaches wherein referencing said description data file comprises referencing one of a management information format (MIF) file (see col.4, lines 48-52) and a management information block (MIB) file (see col.8, lines 5-17 & 35-46).

As per claim 30, Spencer further teaches wherein the alert detection element further to receive the translated command data and using the translated command data to set or clear registers within the other computing device (see col.2, lines 28-33).

As per claim 33, Spencer further teaches wherein comparing the assigned values further includes determining whether the alert message describes a simple event, compound event, or a software event (see col.2, lines 22-27).

As per claim 35, Spencer further teaches wherein assigning values obtained by parsing the data packet further comprises obtaining an identifier to identify a platform type corresponding to the alert message (see col.7, lines 27-31).

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 8, 18, 28, 31, and 34, are rejected under 35 U.S.C. 103(a) as being unpatentable over Spencer (US 6253243B1) as applied to claims 1, 16, 27, 29, and 32 above, and further in view of Regnier et al. (US 5689708A). Spencer does not teach wherein referencing or reporting said description data file comprises referencing or reporting a plain text "ini" file. Regnier teaches wherein referencing said description data file comprises referencing a plain text "ini" file (see col.2 lines 45-49). It would have been obvious to a person of ordinary skill in the art, at the time the invention was made, to employ the teachings of Regnier within the system of Spencer, by making the data

files be of a plain text "ini" file, because "ini" files are commonly used in servers in applying restrictions upon clients, thus making the system of Spencer more versatile and also to prevent further harm to the client system.

***Response to Remarks***

4. In regards to the remarks of independent claims 1, 16, 25, 27, and 29, Spencer clearly teaches the limitation of "translating said reported or received alert events to platform specific alert events by said alert proxy, wherein the translating includes using the obtained identifier to reference an event description file". Spencer clearly states that an SNMP "trap" or a CMIP "event" is an unsolicited alarm notification, wherein the "notification generally indicates that a particular managed resource associated with the agent has experienced a fault or failure condition" (see col.2, lines 17-25). Furthermore, the amendment mentions the reference location provide by the examiner "col.9, lines 24-32", but never addresses the teachings of Spencer, regarding this reference location. To further clarify the teachings of the limitation in dispute, the examiner reiterates that the applicant read col.9, lines 24-32 and additionally lines 32-42.



***Conclusion***

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Young N Won whose telephone number is 703-605-4241. The examiner can normally be reached on M-Th: 8AM-6PM.

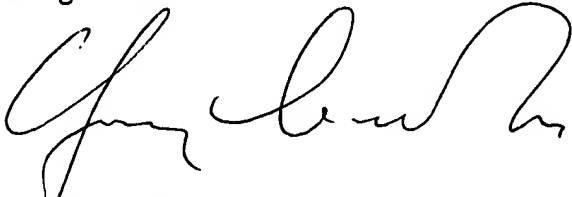
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hosain T Alam can be reached on 703-308-6662. The fax phone numbers for the organization where this application or proceeding is assigned are 703-746-7239 for regular communications and 703-746-7238 for After Final communications.

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

Young N Won

A handwritten signature in black ink, appearing to read 'Young N Won', written in a cursive style.

July 24, 2003

  
PATRICE WINDER  
PRIMARY EXAMINER